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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/804,851	03/13/2001	Sarat C. Sankaran	60025-0011	2552

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EXAMINER

HAVAN, THU THAO

ART UNIT

PAPER NUMBER

3624

DATE MAILED: 11/30/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/804,851

Applicant(s)

SANKARAN ET AL.

Examiner

Thu Thao Haven

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 15 February 2002.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 21-40 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 21-40 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 15 February 2005 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>1/27/03</u> . | 6) <input type="checkbox"/> Other: _____ |

Detailed Action

Drawings

New corrected drawings in compliance with 37 CFR 1.121(d) are required in this application because a clean copy of the drawings are require. Applicant is advised to employ the services of a competent patent draftsman outside the Office, as the U.S. Patent and Trademark Office no longer prepares new drawings. The corrected drawings are required in reply to the Office action to avoid abandonment of the application. The requirement for corrected drawings will not be held in abeyance.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims **21-40** are rejected under 35 U.S.C. 102(e) as being anticipated by Sultan (US 6,804,657).

Re claims **21** and **35-40**, Sultan teaches a computer-automated method for financial planning by managing stored data values representing spending resources of an organization (col. 8, lines 39-55), the method comprising the computer-implemented steps of:

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receiving first data input that specifies a spending capacity for at least a portion of the organization (col.2, lines 21-23);

in response to receiving the first data input, creating and storing spending capacity data in a public area, wherein the spending capacity data defines the spending capacity based on the first data input (col. 2, lines 38-41; Sultan teaches a public area by having financial plans in a global hierarchical structure);

receiving second data input that specifies one or more planned expense allocations for the portion of the organization (col. 2, line 58 to col. 3, line 27; Sultan teaches second data when each member of sales force to update the financial information);

in response to receiving the second data input, creating and storing planned expense data in a private area, wherein the planned expense data defines the one or more planned expense allocations based on the second data input (fig. 4);

determining whether the planned expense data satisfies a criterion that is based on the spending capacity data (col. 9, lines 30-62; Sultan disclose a specific amount as designated by the original plan); and

storing the planned expense data in the public area only when the planned expense data satisfies the criterion (fig. 3).

Re claim **22**, Sultan teaches organization is a business, the portion of the organization is a department selected by user input from among a plurality of department of the business, the department is associated with at least one spend account, the spending capacity is a limit on spending by the department, and the criterion is satisfied only when a sum associated

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with the planned expense data does not exceed the spending capacity (col. 5, lines 13-45; figs. 1-2).

Re claim **23**, Sultan teaches the portion of the organization is a department selected by user input from among a plurality of departments of a business, and the department is associated with one or more financial plans that are created and stored in the private area based on user input from a business manager of the department (fig. 1). Sultan discloses financial plans that a sale representative forecasts for an organization.

Re claim **24**, Sultan teaches developing an object that is related to financial activity of the portion of the organization, monitoring the object to identify financial activity in the portion of the organization, and wherein the step of creating the planned expense data in the private area is carried out based on financial activity that is identified from monitoring the object (col. 6, lines 27-48).

Re claim **25**, Sultan teaches receiving a request to modify the spending capacity for the portion of the organization, determining whether the request is allowable, and only when the request is allowable updating the first data that is stored in the public area to reflect the request to modify the resource capacity for the portion of the organization (col. 7, lines 5-46).

Re claim **26**, Sultan teaches request to modify the resource capacity is user data input representing a request to increase the spending capacity (col. 10, lines 33-50).

Re claims **27-28**, Sultan teaches sending an electronic message to another portion of the organization wherein the message describes the request to modify the spending capacity and receiving an electronic response from the other portion of the organization wherein the response indicates whether the request to modify the spending capacity is allowable (col. 10,

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lines 60 to col. 11, line 26). Sultan teaches sending an electronic message when he discloses reporting directly the forecast information over a worksheet webpage to a regional manager.

Re claim **29**, Sultan teaches receiving user data input representing a modification to one or more planned expense for the portion of the organization and updating only the planned expense data that is stored in the private area (col. 10, lines 19-50). Sultan teaches private are when he discloses only a limited account representative may be able to access the information.

Re claim **30**, Sultan teaches the step of creating and storing the planned expense data in the private area includes the step of creating and storing one or more private plan objects in the private area as part of a department object that is associated with the portion of the organization and the step of storing the planned expense data in the public area includes the step of creating one or more public data objects as part of the department object (col. 2, lines 8-57; col. 9, lines 30-62). Sultan teaches global as public area.

Re claim **31**, Sultan teaches a method as claimed in claim 21. Therefore the rationale applied in the rejection of claim 21 applies herein. In addition, Sultan discloses hierarchical levels (col. 8, lines 12-55).

Re claims **32-33**, Sultan teaches one or more planned resource allocations includes one or more third resource capacities for one or more sub-organizations in a third hierarchical level from the plurality of hierarchical level wherein hierarchical level is associated with at least one spend account (figs. 1-2).

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.


Solokl et al, US patent no. 6,173,269

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thu Thao Havan whose telephone number is (571) 272-8111. The examiner can normally be reached on Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on (571) 272-6747. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct-uspto.gov/>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at (866) 217-9197 (toll-free).

TTH
11/25/2005



HANI M. KAZIMI
PRIMARY EXAMINER